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PATENT

Docket No.: 36287-00701

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12/31/01

THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : SEAMAN

Serial No. : 09/769,999      Group Art Unit : 2161

Filed : January 25, 2001      Examiner : TBA

For : *METHOD AND SYSTEM FOR ADMINISTERING A  
DISCOUNTED SECURITY*

CERTIFICATE OF MAILING (37 C.F.R. § 1.8(a))

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Washington, D.C. 20231

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Sir:

I hereby certify that the attached:

1. Form 1449;
2. Copies of Cited References;
3. IDS Submission (in duplicate); and
4. Return Receipt Postcard

along with any paper(s) referred to as being attached or enclosed and this Certificate of Mailing are being deposited with the United States Postal Service on the date shown below with sufficient postage as first-class mail in an envelope addressed to the: Assistant Commissioner For Patents, Washington, D.C. 20231.

Respectfully submitted,  
Milbank Tweed Hadley & McCloy LLP

Chris L. Holm

Dec 13, 2001

Milbank Tweed Hadley & McCloy LLP  
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(212)530-5000 / (212)530-5219 (facsimile)



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**INFORMATION DISCLOSURE STATEMENT**

Box No Fee  
ASSISTANT COMMISSIONER FOR PATENTS  
Washington, D.C. 20231

Sir:

This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§1.56, 1.97 and 1.98. The items listed on Form PTO-1449, a copy of which is enclosed, may be deemed to be pertinent to the above-identified application and are made of record to assist the Patent and Trademark Office in its examination of this application. The Examiner is respectfully requested to fully consider the items and to independently ascertain their teaching.

1. ☐ For each of the following items listed on the enclosed copy of Form PTO-1449 that is not in the English language, an English language translation of that item or a portion thereof or a concise explanation of the relevance of that item is enclosed:
2. ☐ For each of the following items listed on the enclosed copy of Form PTO-1449 that is not in the English language, a concise explanation of the relevance of that item is incorporated in the specification of the above-identified application.
3. ☐ Any copy of the items listed on the enclosed copy of Form PTO-1449 that is not enclosed with this Information Disclosure Statement was previously cited by or submitted to the Patent and Trademark Office in the prior ☐ Continuation, ☐ Divisional or ☐ Continuation-In-Part application under 37 C.F.R. §1.60, U.S. Serial No. \_\_\_\_\_, filed \_\_\_\_\_.

4. ☒ No fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with:

☐ 37 C.F.R. §1.97(b)(1), within three months of the filing date of the above-identified application.

☐ 37 C.F.R. §1.97(b)(2), within three months of the date of entry into the national stage as set forth in §1.491 in an international application.

☒ 37 C.F.R. §1.97(b)(3), before the mailing date of a first Office action on the merits.

5. ☐ No fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c), after the period specified in paragraph 4 above but before the mailing date of a final action or a Notice of Allowance (where there has been no prior final action), and is accompanied by one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 9 below.

6. ☐ A fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c), after the period specified in paragraph 4 above but before the mailing date of a final action or a notice of allowance (where there has been no prior final action):

☐ A check in the amount of \$240.00 is enclosed in payment of the fee.

☐ Charge the fee to Deposit Account No. 13-4500. Order No. 36287-00701. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

7. ☐ A fee is due under 37 C.F.R. §1.17(i)(1) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(d), after the mailing date of a final action or a notice of allowance, whichever comes first, but before payment of the issue fee, and is accompanied by:

a. one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 9 below; and

b. the attached petition requesting consideration of this Information Disclosure Statement; and

c. the fee due under 37 C.F.R. §1.17(i)(1) which is paid as set forth in paragraph 10 below.

8. ☐ A fee is due under 37 C.F.R. §1.17(i)(1) for this Information Disclosure Statement since it is being filed in compliance with:

a. ☐ 37 C.F.R. §1.313(b)(3), after the issue fee has been paid and information cited in this Information Disclosure Statement may render at least one claim unpatentable and is accompanied by the attached Petition To Withdraw

## Application From Issue;

b. ☐ 37 C.F.R. §1.313(b)(5), after the issue fee has been paid and information cited in this Information Disclosure Statement is to be considered in a Continuation application upon abandonment of the instant application and is accompanied by the attached Petition To Withdraw Application From Issue.

c. The fee due under 37 C.F.R. §1.17(i)(1) is paid as set forth in paragraph 10 below.

9. ☐ I hereby certify that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

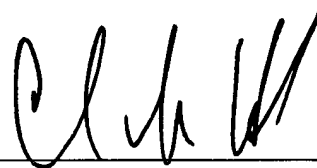
☐ I hereby certify that no item of information in the Information Disclosure Statement filed herewith was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

10. ☐ A check in the amount of \$130.00 is enclosed in payment of the fee due under 37 C.F.R. §1.17(i)(1).

☐ Charge the fee due under 37 C.F.R. §1.17(i)(1) to Deposit Account No. 13-3250. Order No. 36287-00701. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

☒ The Assistant Commissioner is hereby authorized to charge any additional fees which may be required for this Information Disclosure Statement, or credit any overpayment to Deposit Account No. 13-3250. Order No. 36287-00701. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Respectfully submitted,  
MILBANK, TWEED, HADLEY & McCLOY LLP

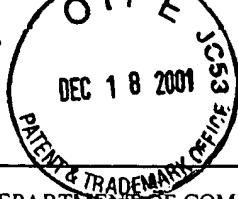


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December 13, 2001

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FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
36287-00701SERIAL NO.  
09/769,999**INFORMATION DISCLOSURE CITATION**

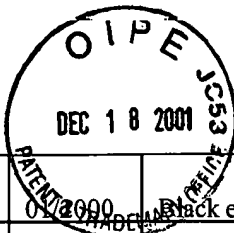
(Use several sheets if necessary)

APPLICANT

SEAMAN

FILING DATE  
January 25, 2001GROUP ART UNIT  
2161**RECEIVED**  
DEC 20 2001  
Technology Center 2100**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5,692,233	11/1997	Garman			
	5,802,499	09/1998	Sampson et al.			
	5,812,988	09/1998	Sandretto			
	5,819,237	10/1998	Garman			
	5,819,238	10/1998	Fernholz			
	5,845,265	12/1998	Woolston			
	5,845,266	12/1998	Lupien et al.			
	5,852,811	12/1998	Atkins			
	5,884,286	03/1999	Daughtery, III			
	5,893,078	04/1999	Paulson			
	5,913,202	06/1999	Motoyama			
	5,926,800	07/1999	Baronowski et al.			
	5,940,810	08/1999	Traub et al.			
	5,946,667	08/1999	Tull, Jr. et al.			
	5,950,175	09/1999	Austin			
	5,950,176	09/1999	Keiser et al.			
	5,950,177	09/1999	Lupien et al.			
	5,963,923	10/1999	Garber			
	5,970,479	10/1999	Shepherd			
	5,978,780	11/1999	Watson			
	5,987,435	11/1999	Weiss et al.			



		6,012,042	01/2000	Black et al.			
		6,012,046	01/2000	Lupien et al.			
		6,016,483	01/2000	Rickard et al.			
		6,018,721	01/2000	Aziz et al.			
		6,018,722	01/2000	Ray et al.			
		6,021,397	02/2000	Jones et al.			
		6,021,398	02/2000	Ausubel			
		6,026,383	02/2000	Ausubel			
		6,058,379	05/2000	Odom et al.			
		6,061,662	05/2000	Makivic			
		6,076,072	06/2000	Libman			
		6,078,903	06/2000	Kealhofer			
		6,078,904	06/2000	Rebane			
		6,085,176	07/2000	Woolston			
		6,088,685	07/2000	Kiron et al.			
		6,092,056	07/2000	Tull, Jr. et al.			
		6,098,051	08/2000	Lupien et al.			

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**EXAMINER**

**DATE CONSIDERED**

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.